

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **METHODS AND COMPOSITIONS FOR THE PREVENTION OR TREATMENT OF CANCER**, the Specification of which:

☐ is attached hereto.  
☒ was filed on September 3, 1999 as Application Serial No. 09/389,435.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim priority benefits under Title 35, United States Code, § 119 and/or § 365 of any foreign application(s) for patent or inventor's certificate, PCT international application(s), and United States provisional application(s), listed below and have also identified below any foreign application for patent or inventor's certificate, PCT international application, or United States provisional application, having a filing date before that of the application on which priority is claimed:

PRIORITY APPLICATION(S)			Priority Claimed
60/099,103	USA	September 4, 1999	Yes
(Number)	(Country)	(Date Filed)	Yes/No
60/101,759	USA	September 25, 1999	Yes
(Number)	(Country)	(Date Filed)	Yes/No

I hereby claim the benefit under Title 35, United States Code, § 120 and/or § 365 of any United States application(s) and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56, which become available between the filing date of the prior application and the national or PCT international filing date of this application:

N/A

(Application Serial No.)	(Filing Date)	(Status)
--------------------------	---------------	----------

(Application Serial No.)	(Filing Date)	(Status)
--------------------------	---------------	----------

I hereby direct that all correspondence and telephone calls be addressed to David W. Hibler, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	George	J.	Brewer
Inventor's Signature:	<i>George J. Brewer</i>		
Country of Citizenship:	United States of America	Date:	10/06/99
Residence Address: (street, number, city, state, and/or country)	3820 Gensley Ann Arbor, MI 48103		
Post Office Address: (if different from above)			

Inventor's Full Name:	Sofia	D.	Merajver
Inventor's Signature:	<i>Sofia D. Merajver</i>		
Country of Citizenship:	United States of America	Date:	10/29/99
Residence Address: (street, number, city, state, and/or country)	2755 Daleview Drive Ann Arbor, MI 48104		
Post Office Address: (if different from above)			

Inventor's Full Name:	Nathan		Ockwig
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

I hereby direct that all correspondence and telephone calls be addressed to David W. Hibler, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	George	J.	Brewer
Inventor's Signature:			
Country of Citizenship:			Date:
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

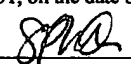
Inventor's Full Name:	Sofia	D.	Merajver
Inventor's Signature:			
Country of Citizenship:			Date:
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Nathan		Ockwig
Inventor's Signature:	<i>Nathan Ockwig</i>		
Country of Citizenship:	USA		Date: 10/6/99
Residence Address: (street, number, city, state, and/or country)	1122 Nielsen Ct. #1 Ann Arbor, MI 48109		
Post Office Address: (if different from above)			

Inventor's Full Name:	Dimitri		Coucouvannis
Inventor's Signature:	<i>Dimitri Coucoun</i>		
Country of Citizenship:	U.S.A.	Date:	10/6/99
Residence Address: (street, number, city, state, and/or country)	3750 LAMPLIGHTER DR. ANN ARBOR MI 48103		
Post Office Address: (if different from above)			

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: §  
George J. Brewer, Sofia D. Merajver and §  
Dimitri Coucouvanis (As Amended) §  
Serial No.: 09/389,435 § Group Art Unit: 1643  
Filed: September 3, 1999 § Examiner: Unknown  
For: METHODS AND COMPOSITIONS § Atty. Dkt.: 4100.001000  
FOR THE PREVENTION OR §  
TREATMENT OF CANCER §

CERTIFICATE OF MAILING 37 C.F.R. 1.8	
I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:	
Mar. 07, 2000 Date	 Shelley P. M. Fussey

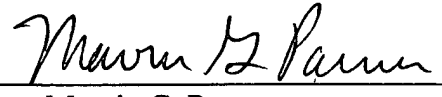
CONSENT OF ASSIGNEE TO DELETE INVENTOR

Assistant Commissioner of Patents and Trademarks  
Washington, DC 20231

Sir:

The undersigned, The Regents of The University of Michigan, being the assignee of record of the entire interest in the above-identified application by virtue of an Assignment submitted for recordation in the U.S. Patent and Trademark Office, hereby consents to the deletion of Nathan Ockwig as an Inventor in the above-identified patent application.

THE REGENTS OF THE  
UNIVERSITY OF MICHIGAN

By:   
Name: Marvin G. Parnes  
Title: Assistant Vice President for Research,  
Interim Director, Technology Management Office  
Date: 3-1-00

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **METHODS AND COMPOSITIONS FOR THE PREVENTION OR TREATMENT OF CANCER**, the Specification of which:

- ☐ is attached hereto.  
☒ was filed on September 3, 1999 as Application Serial No. 09/389,435.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim priority benefits under Title 35, United States Code, § 119 and/or § 365 of any foreign application(s) for patent or inventor's certificate, PCT international application(s), and United States provisional application(s), listed below and have also identified below any foreign application for patent or inventor's certificate, PCT international application, or United States provisional application, having a filing date before that of the application on which priority is claimed:

PRIORITY APPLICATION(S)			Priority Claimed
60/099,103	USA	September 4, 1999	Yes
(Number)	(Country)	(Date Filed)	Yes/No
60/101,759	USA	September 25, 1999	Yes
(Number)	(Country)	(Date Filed)	Yes/No

I hereby claim the benefit under Title 35, United States Code, § 120 and/or § 365 of any United States application(s) and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56, which become available between the filing date of the prior application and the national or PCT international filing date of this application:

N/A		
(Application Serial No.)	(Filing Date)	(Status)
(Application Serial No.)	(Filing Date)	(Status)

I hereby direct that all correspondence and telephone calls be addressed to Shelley P. M. Fussey, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	George	J.	Brewer
Inventor's Signature:	<i>George J. Brewer</i>		
Country of Citizenship:	<i>United States</i>		Date: <i>February 25, 2000</i>
Residence Address: (street, number, city, state, and/or country)	<i>3820 Gensley Rd Ann Arbor, MI 48103</i>		
Post Office Address: (if different from above)			

Inventor's Full Name:	Sofia	D.	Merajver
Inventor's Signature:			
Country of Citizenship:			Date:
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Dimitri		Coucovanis
Inventor's Signature:			
Country of Citizenship:			Date:
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

I hereby direct that all correspondence and telephone calls be addressed to Shelley P. M. Fussey, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	George	J.	Brewer
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Sofia	D.	Merajver
Inventor's Signature:	<i>Sofia Merajver</i>		
Country of Citizenship:	US	Date:	2-28-2000
Residence Address: (street, number, city, state, and/or country)	2755 Daleview Drive Ann Arbor MI 48105 USA		
Post Office Address: (if different from above)			

Inventor's Full Name:	Dimitri		Coucovanis
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

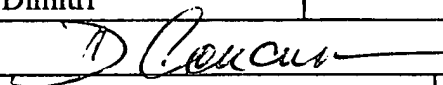


I hereby direct that all correspondence and telephone calls be addressed to Shelley P. M. Fussey, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	George	J.	Brewer
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Sofia	D.	Merajver
Inventor's Signature:			
Country of Citizenship:		Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Dimitri		Coucovanis
Inventor's Signature:			
Country of Citizenship:	U.S.A	Date:	
Residence Address: (street, number, city, state, and/or country)	3750 LAMPLIGHTER DR. ANN ARBOR MI 48103		
Post Office Address: (if different from above)			

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

George J. Brewer, Sofia D. Merajver,  
Nathan Ockwig and Dimitri Coucouvanis

Group Art Unit: Unknown

Serial No.: 09/389,435

Examiner: Unknown

Filed: September 3, 1999

Atty. Dkt. No.: 4100.001000

For: METHODS AND COMPOSITIONS FOR  
THE PREVENTION OR TREATMENT  
OF CANCER

DECLARATION CLAIMING SMALL ENTITY STATUS  
37 C.F.R. §§ 1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: THE REGENTS OF THE  
UNIVERSITY OF MICHIGAN

Address of Organization: Wolverine Tower, Room 2071  
3003 South State Street  
Ann Arbor, Michigan 48109-1280

The type of organization is a university.

I hereby declare that the organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) (1), and thus is a "small entity" as defined in § 1.9(f), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the above-referenced application.

I hereby declare that exclusive rights to the invention have been conveyed to and remain with the organization, with respect to the above-referenced invention, nor have I assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant,

convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR. § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e), with the exception that the Government may have rights in the invention pursuant to a funding agreement under 35 U.S.C. § 202(c)(4): Food and Drug Administration No. FD-U-000505 and National Institutes of Health Grant No. RO3-CA77122-01.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

THE REGENTS OF THE  
UNIVERSITY OF MICHIGAN

By: Marvin G. Parnes  
Name: Marvin G. Parnes  
Title: Associate VP for Research  
Interim Director of Technology  
Management Office

Date: 11-11-99

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	§	
George J. Brewer, Sofia D. Merajver,	§	
Nathan Ockwig and Dimitri Coucouvanis	§	
	§	Group Art Unit: Unknown
Serial No.: 09/389,435	§	
	§	Examiner: Unknown
Filed: September 3, 1999	§	
	§	Atty. Dkt.: 4100.001000
For: METHODS AND COMPOSITIONS	§	
FOR THE PREVENTION OR	§	
TREATMENT OF CANCER	§	

ELECTION UNDER 37 C.F.R. §§ 3.71 AND 3.73  
AND POWER OF ATTORNEY

Assistant Commissioner for Patents  
 Washington, D.C. 20231

Sir:

The undersigned, being Assignee of record of the entire interest in the above-identified application by virtue of an assignment recorded in the United States Patent and Trademark Office as set forth below, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventor.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

Danny L. Williams, Reg. No. 31,892; Terry D. Morgan, Reg. No. 31,181; J. Mike Amerson, Reg. No. 35,426; Kenneth D. Goodman, Reg. No. 30,460; Barbara S. Kitchell, Reg. No. 33,928; Jeffrey A. Pyle, Reg. No. 34,904; Randall C. Furlong, Reg. No. 35,144; Scott F. Diring, Reg. No. 35,119; Jeffrey E. Hundley, Reg. No. 42,676; George J. Oehling, Reg. No. 40,471; Shelley P.M. Fussey, Reg. No. 39,458; David W. Hibler, Reg. No. 41,071; and Mark D. Moore, Reg. No. 42,903.

each an attorney or agent with the law firm of WILLIAMS, MORGAN & AMERSON, P.C., as its attorney or agent so long as they remain with such law firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

Pursuant to 37 C.F.R. § 3.73, the undersigned has reviewed the evidentiary documents, specifically the Assignment to **The Regents of The University of Michigan**, referenced below, and certifies that to the best of my knowledge and behalf, title remains in the name of the Assignee.

Please direct all communications as follows:

David W. Hibler  
WILLIAMS, MORGAN & AMERSON, P.C.  
7676 Hillmont, Suite 250  
Houston, Texas 77040  
(713) 934-7000

ASSIGNEE:  
THE REGENTS OF THE  
UNIVERSITY OF MICHIGAN

By: Marvin G. Parnes  
Name: Marvin G. Parnes  
Title: Associate VP for Research  
Interim Director of Technology  
Management Office

Date: 11-11-99

ASSIGNMENT:

☒  
☐

Concurrently filed  
Previously recorded

Date: \_\_\_\_\_

Reel: \_\_\_\_\_

Frame: \_\_\_\_\_

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, do hereby:

SELL, ASSIGN AND TRANSFER to The Regents of the University of Michigan (the "Assignee"), having a place of business at Wolverine Tower, Room 2071, 3003 South State Street, Ann Arbor, Michigan 48109-1280, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. 09/389,435 which has been filed on September 3, 1999 and is entitled "METHODS AND COMPOSITIONS FOR THE PREVENTION OR TREATMENT OF CANCER", such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

Signature: George J. Brewer  
Name: George J. Brewer

Date: October 27, 1999

STATE OF MICHIGAN     )  
                                      ) ss.  
COUNTY OF \_\_\_\_\_ )

BEFORE ME, the undersigned authority, on this 27<sup>th</sup> day of October, 1999, personally appeared George J. Brewer, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

Linda M. Peasley  
Notary or Consular Officer

[SEAL]

LINDA M. PEASLEY  
Notary Public, Livingston County, MI  
My Commission Expires Dec 16, 1999

Signature: [Signature]  
Name: Sofia D. Merajver

Date: 10-29-99

STATE OF MICHIGAN     )  
                                  ) ss.  
COUNTY OF Washtenaw)

BEFORE ME, the undersigned authority, on this 29 day of October, 1999, personally appeared Sofia D. Merajver, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that she executed the same of her own free will for the purposes and consideration therein expressed.

Evelyn K. Mitchell  
Notary or Consular Officer  
EVELYN K. MITCHELL  
Notary Public, Washtenaw County, MI  
My Commission Expires Sept 2, 2000

[SEAL]

Signature: \_\_\_\_\_  
Name: Nathan Ockwig

Date: \_\_\_\_\_

STATE OF MICHIGAN     )  
                                  ) ss.  
COUNTY OF \_\_\_\_\_)

BEFORE ME, the undersigned authority, on this \_\_\_\_ day of \_\_\_\_\_, 1999, personally appeared Nathan Ockwig, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

\_\_\_\_\_  
Notary or Consular Officer

[SEAL]

Signature: \_\_\_\_\_  
Name: Dimitri Coucouvanis

Date: \_\_\_\_\_

STATE OF MICHIGAN     )  
                                  ) ss.  
COUNTY OF \_\_\_\_\_)

BEFORE ME, the undersigned authority, on this \_\_\_\_ day of \_\_\_\_\_, 1999, personally appeared Dimitri Coucouvanis, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

\_\_\_\_\_  
Notary or Consular Officer

[SEAL]

Signature: \_\_\_\_\_  
Name: Sofia D. Merajver

Date: \_\_\_\_\_

STATE OF MICHIGAN     )  
  ) ss.  
COUNTY OF \_\_\_\_\_)

BEFORE ME, the undersigned authority, on this \_\_\_\_\_ day of \_\_\_\_\_, 1999,  
personally appeared Sofia D. Merajver, known to me to be the person whose name is subscribed  
to the foregoing instrument and acknowledged to me that she executed the same of her own free  
will for the purposes and consideration therein expressed.

\_\_\_\_\_  
Notary or Consular Officer

[SEAL]

Signature: Nathan Ockwig  
Name: Nathan Ockwig

Date: 10/6/99

STATE OF MICHIGAN     )  
  ) ss.  
COUNTY OF Washtenaw)

BEFORE ME, the undersigned authority, on this 6<sup>th</sup> day of October, 1999,  
personally appeared Nathan Ockwig, known to me to be the person whose name is subscribed to  
the foregoing instrument and acknowledged to me that he executed the same of his own free will  
for the purposes and consideration therein expressed.

Doreen Pussman  
Notary or Consular Officer  
My Commission Expires Nov. 8, 2000

[SEAL]

Signature: Dimitri Coucouvanis  
Name: Dimitri Coucouvanis

Date: 10/6/99

STATE OF MICHIGAN     )  
  ) ss.  
COUNTY OF Washtenaw)

BEFORE ME, the undersigned authority, on this 6<sup>th</sup> day of October, 1999, personally  
appeared Dimitri Coucouvanis, known to me to be the person whose name is subscribed to the  
foregoing instrument and acknowledged to me that he executed the same of his own free will for  
the purposes and consideration therein expressed.

Doreen Pussman  
Notary or Consular Officer  
My Commission Expires Nov. 8, 2000

[SEAL]